

APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR Application Date May 16, 1983 Application Number DHR 83-12		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES Office of the Commissioner Office of Audits - Control Unit - GMHI 1256 Briarcliff Road, N.E./ Room 312-S Atlanta, Georgia 30308		ARCHIVES AND HISTORY Application Number 83-831 Date Received MAY 17 1983 Date Completed JUN 7 1983	
2. Person to Contact Ann B. Johnson		Working Title Director, Control Section		Telephone Number 894-3904	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void					
4. Dates of Series Earliest 1980 Latest continuing		5. Records Series Title (followed by title used in office; if different) Audits Performed by *Outside Agencies Files			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? <p>The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures, and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.</p>					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. <p>Documents relating to: auditing (by *outside agencies) DHR units and programs which may be: a financial audit to determine financial accountability, or a performance audit to determine operation efficiency and effectiveness.</p> <p>Included are: Report of performance which shows purpose of the program; services provided; how program is funded; and where information for the audit was obtained. Summary of (Performance) Audit Findings provides information concerning current operations and recommendations for improvement in specific areas such as program management; counseling activities; evaluation activities; work adjustment; training; educational activities; job placement; and other activities. Financial Information whows source of funds and expenditures; describes findings concerned with financial matters with recommendations for improvement. Also included are responses to recommendations made and what is being done for improvements in each area.</p> <p>File is arranged: numerically by control number assigned by Office of Audits.</p>					
8. Monthly Reference Rate <u>daily</u> How often are records referred to which are: One to six months old <u>daily</u> ; Seven to twelve months old <u>often</u> ; Thirteen to twenty-four months old <u>occasionally</u> twenty-five months and older <u>occasionally</u>					
9. Annual Rate of Accumulation or Records Letter-size drawers <u>2 - 3</u> ; Legal-size drawers _____; Shelves _____; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it? Department official copy
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
X		d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

New "Single Audit" concept may require records to be maintained for federal audit purposes. Retention requirements for these purposes would vary from program to program; however 5-year period should suffice.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) 3 _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 2 _____ year(s); then
- ☒ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>George C. Repas</i>	5/10/83	<i>Elizabeth Crank</i>	5/9/83
		Elizabeth W. Crank, CRM-RMA State Records Committee (Signature)	
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	Date
		<i>Edward Ullman</i>	6/6/83
		Secretary of State/Designee	Date
		<i>Edward Ullman</i>	6/2/83
		Attorney General/Designee	Date
		<i>Edward Ullman</i>	6-6-83